



## **SGIP Catalog of Standards Development Process Statement: Standard OASIS WS-Calendar**

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## THE SGIP

The Smart Grid Interoperability Panel (SGIP) is a membership-based organization created by an Administrator under a contract from NIST to provide an open process for stakeholders to participate in providing input and cooperating with NIST in the ongoing coordination, acceleration and harmonization of standards development for the Smart Grid. The SGIP also reviews use cases, identifies requirements and architectural reference models, coordinates and accelerates Smart Grid testing and certification, and proposes action plans for achieving these goals. The SGIP does not write standards, but serves as a forum to coordinate the development of standards and specifications by many standards setting organizations.

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# 1 Background and Purpose

The entity proposing inclusion of a Standard into the Catalog shall provide materials describing the process under which the proposed specification was developed. This document is part of the required information provided to the SGIP as described in section 4.1 step 2 in the Catalog of Standards Process Description document [1].

The National Technology Transfer and Advancement Act (NTTAA) [2] describes characteristics desirable to aid the uptake of technologies developed, in part, with United States government support. OMB Circular A-119 [3] elaborates the definitions and requirements for voluntary consensus standards. Support for these characteristics is therefore encouraged, although not required.

The organization should make statements of support for the maxims “i” through “v” which are quoted below for reference (NTTAA reference, OMB Circular A-119 section 4 “What are Voluntary, Consensus Standards”; refer to ANSI Essential Requirements: Due process requirements for American National Standards (January 2010) for definitions of terms) [4]. The organization should indicate how support for each maxim in the excerpt below, from the above-mentioned reference, is achieved for the standard:

- a. For purposes of this policy, "voluntary consensus standards" are standards developed or adopted by voluntary consensus standards bodies, both domestic and international. These standards include provisions requiring that owners of relevant intellectual property have agreed to make that intellectual property available on a non-discriminatory, royalty-free or reasonable royalty basis to all interested parties. For purposes of this document, "technical standards that are developed or adopted by voluntary consensus standard bodies" is an equivalent term.
- (1) "Voluntary consensus standards bodies" are domestic or international organizations which plan, develop, establish, or coordinate voluntary consensus standards using agreed-upon procedures. A voluntary consensus standards body is defined by the following attributes:
  - (i) Openness.
  - (ii) Balance of interests.
  - (iii) Due process.
  - (iv) An appeals process.
  - (v) Consensus, which is defined as general agreement, but not necessarily unanimity, and includes a process for attempting to resolve objections by interested parties, as long as all comments have been fairly considered, each objector is advised of the disposition of his or her objection(s) and the reasons why, and the consensus body members are given an opportunity to change their votes after reviewing the comments.

Additionally, the intellectual property rights associated with use of this standard should be described.

## **2 Properties of Voluntary consensus standards bodies**

*For each section below, provide a description of how this SSO supports the topic. If the SSO does not have support for the topic, make that assertion.*

OASIS technical specifications are publications developed as proposed open standards by interested volunteer experts under the open development process administered by OASIS (the Organization for Advancement of Structured Information Standards <http://www.oasis-open.org/>). OASIS is one of the largest and oldest global open data standards consortia, founded in 1993. OASIS has over 5000 expert participants representing about 500 member organizations and individual members in over 80 countries.

OASIS maintains Category A Liaison status with multiple technical committees of ISO, Category A4 recognition status with ITU-T, and Publicly Available Specification (PAS) status with ISO/IEC JTC1, each of which permits OASIS to submit final standards directly to those global de jure standards bodies for transposition and fast-track approval, analogous on the international level to the national-level process vetting conducted in the US by ANSI. As part of its PAS status renewal [5], OASIS policies and practices are reviewed periodically by JTC1 on substantially the same criteria employed by ANSI, and have been approved by that group of national standards bodies upon each review, in 2004, 2007 and 2010. [5]

### **2.1 Openness**

All aspects of OASIS Work Products are publicly visible on the web. This includes all drafts, emails, minutes, and any other communication on the Technical Committee lists. All participants agree to the public posting of their contributions and drafts as part of their membership agreement.

OASIS membership is required only to actively participate in Technical Committee meetings and to vote. Members of the public and other stakeholders have complete visibility into OASIS technical specification development activities, due to this transparency.

### **2.2 Balance of interests**

OASIS policies, procedures, comment and interpretation facilities are available to anyone, regardless of affiliation or interests. Membership in OASIS is open to any interested party, organizational as well as individual, upon payment of a membership fee, and any member may join any OASIS technical committee. Technical committees are formed at OASIS upon the proposal of a group of members; each proposal defines that committee's scope of work, and that proposal (a "Call for Participation") is broadly circulated to the public and interested technical stakeholders. The proposals for the OASIS technical committees serving SGIP PAP03, PAP04, and PAP09 also directly were circulated to SGIP stakeholders. The management and Board of OASIS do not restrict the formation or scope of TCs, except by enforcing the requirement of submitting a complete proposal. OASIS staff also actively recruits from multiple constituencies to help assure a balanced set of stakeholder inputs. Additionally, OASIS always provides facilities for public comment (i.e. from nonmembers) on any of these works. In short,

any interested person may provide input and feedback directly into each OASIS technical project.

## **2.3 Due process**

OASIS policies and procedures describe the rights and responsibilities of the community engaged in the creation of OASIS Work Products. Under the OASIS TC Process [6] a TC first develops and approves works at the committee level. After a public review and certification of the existence of implementations, the TC may submit a final committee output to the membership of OASIS for consideration as an "OASIS Standard," the consortium's highest level of approval. This approval also is accomplished by an open, publicly-transparent balloting process.

## **2.4 An appeals process**

OASIS maintains a professional staff to enforce its rules and provide assistance to members in fulfilling their technical, formatting, licensing and transparency responsibilities. The OASIS TC Process requires that a number of key approval milestones be administered or confirmed by professional staff neutrals, and provides for a two-stage appeals process (to the TC administration staff and the Board of Directors) for any disputes regarding the actions of a technical committee, or its expert members, or the consortium staff itself. [6]

## **2.5 Consensus**

The OASIS TC Process [6] provides for open discussion and voting by its technical committees, which any member may join, and publicly-archived votes for approval of Work Products after required public reviews are completed.

# **3 Intellectual Property Rights (IPR)**

*Summarize the IPR policy of the SSO and provide links to where the policy may be retrieved or provide it in conjunction with this document (to the extent that this information is publicly available).*

## **3.1 Applicable IPR-related policies**

*Provide information regarding all applicable IPR-related policies that were in effect with regard to the candidate Standard (including policies relating to patents, copyrights, confidential information, marks and logos and any other proprietary rights).*

The OASIS Intellectual Property Rights (IPR) Policy [7] requires, among other things, that contributors of existing work and participants in OASIS TCs: (a) disclose their known essential claims (patents, etc.) related to the work, and (b) promise to grant licenses, on at least certain minimum terms, to support that work, if it becomes part of a completed OASIS specification. OASIS also publishes any statements or disclosures of essential claims of which it becomes aware, as well as the terms of any specifically disclosed available or required licenses.

The minimum terms of license availability, depending on the technical committee's charter, may either be:

- (i) a nonassertion covenant from each obligated participant and contributor (applicable to WS-Calendar),
- (ii) a royalty-free license with a certain limited set of additional beneficial terms,
- (iii) A royalty-free license with all other license terms subject to RAND criteria or
- (iv) a RAND license.

The OASIS copyright provisions, described in the OASIS IPR Policy, generally grant to any party permission to implement or make derivative works for the implementation of OASIS specifications.

### **3.2 IPR-related disclosure**

*Provide information regarding any IPR-related disclosures or licensing statements regarding the candidate Standard.*

IPR Disclosures and Obligated Parties are listed on links from the WS-Calendar Technical Committee web pages [8]. No IPR disclosures by members have been made with respect to WS-Calendar as of this date. [9]

## **4 Document References**

- [1] Catalog of Standards Process Description Document, Version 1.0, 23 May 2011, [http://collab.orate.nist.gov/twiki-sggrid/pub/SmartGrid/StandardOperatingProcedures/Standards\\_Catalog\\_Process\\_and\\_Structure\\_V1\\_0.pdf](http://collab.orate.nist.gov/twiki-sggrid/pub/SmartGrid/StandardOperatingProcedures/Standards_Catalog_Process_and_Structure_V1_0.pdf)
- [2] National Technology Transfer and Advancement Act (NTTAA), [http://standards.gov/standards\\_gov/nttaa.cfm](http://standards.gov/standards_gov/nttaa.cfm)
- [3] OMB CIRCULAR NO. A-119, Revised. [http://standards.gov/standards\\_gov/a119.cfm](http://standards.gov/standards_gov/a119.cfm)
- [4] ANSI Essential Requirements: Due process requirements for American National Standards (January 2010) <http://publicaa.ansi.org/sites/apdl/Documents/Standards%20Activities/American%20National%20Standards/Procedures,%20Guides,%20and%20Forms/2010%20ANSI%20Essential%20Requirements%20and%20Related/2010%20ANSI%20Essential%20Requirements.pdf>
- [5] ISO/IEC JTC1 Publicly Available Specification approval roster: [http://isotc.iso.org/livelink/livelink/fetch/-8913189/8913214/8913248/Approved\\_PAS\\_Submitters.html?nodeid=2315468&vernum=-2](http://isotc.iso.org/livelink/livelink/fetch/-8913189/8913214/8913248/Approved_PAS_Submitters.html?nodeid=2315468&vernum=-2) JTC1 Directives (2009) describing PAS criteria: <http://isotc.iso.org/livelink/livelink?func=ll&objId=9380064&objAction=Open&nexturl=%2Flivelink%2Flivelink%3Ffunc%3DII%26objId%3D9384365%26objAction%3Dbrowse%26sort%3Dname>
- [6] OASIS TC Process: <http://www.oasis-open.org/committees/process.php>
- [7] OASIS IPR Policy: <http://www.oasis-open.org/who/intellectualproperty.php>.

- [8] WS-Calendar Technical Committee Home Page: <http://www.oasis-open.org/committees/ws-calendar/>
- [9] WS-Calendar IPR Disclosure page: <http://www.oasis-open.org/committees/ws-calendar/ipr.php>

## 5 Revision History

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Rev. Number	Date	Author/Editor	Summary of Revisions
0.7	20110701	Marty Burns	Original Version
1.0	20110815		OASIS WS-Calendar information

### 5.1 Contributors

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